

# DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:  
SOLID-ELECTROLYTE SECONDARY BATTERY

Case No. P99,2641, the specification of which

(check one) ☒ is attached hereto.  
☐ was filed on April 22, 1999 (International Filing Date), as  
International Application Serial No. PCT/JP99/02155  
and was amended on \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent Office all information which is known to me to be material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, 1.56.<sup>1</sup>

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and I believe that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months prior to this application, and that no application for patent or inventor's certificate on this invention has been filed in any country foreign to the United States of America prior to this application by me or my legal representatives or assigns, except as identified below:

I hereby claim foreign priority benefits under Title 35, United States Code, 119 of any foreign application(s) for patent or inventor's certificate listed below

Prior Foreign Application(s)		
Number	Country	Date
P10-117509	Japan	April 27, 1998

and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the above listed application on which priority is claimed:

Prior Foreign Application(s)		
Number	Country	Date

If no priority is claimed, I have identified all foreign patent applications filed prior to this application:

<sup>1</sup> (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

Prior Foreign Application(s)  
 Number Country Date

And I hereby appoint Messrs. John D. Simpson (Registration No. 19,842), Dennis A. Gross (24,410), Robert M. Barrett (30,142), Steven H. Noll (28,982), Kevin W. Gynn (29,927), Robert M. Ward (26,517), Brett A. Valiquet (27,841), Edward A. Lehman (22,312), David R. Metzger (32,919), Todd S. Parkhurst (26,494), James D. Hobart (24,149), Melvin A. Robinson (31,870), John R. Garrett (27,888), Paula J. Kelly (37,624), John W. Cornell (30,619), Robert J. Depke (37,607), Joseph P. Reagen (35,332), Michael R. Hull (35,902), Michael S. Leonard (37,557), William E. Vaughan (39,056) and Lewis T. Steadman (17,074), all members of the firm of Hill & Simpson, A Professional Corporation

Telephone: 312/876-0200 Ext. \_\_\_\_\_

my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and direct that all correspondence be forwarded to:

Hill & Simpson  
 A Professional Corporation  
85th Floor Sears Tower, Chicago, Illinois 60606

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Tsuvonobu Hatazawa

Inventor's signature Tsuvonobu Hatazawa Date November 26, 1999  
 Residence Miyagi, Japan  
 Citizenship Japan  
 Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome, Shinagawa-ku.  
Tokyo 141-0001 Japan

Full name of second joint inventor,

(if any) Koichiro Kezuka

Inventor's signature 佐藤 浩一郎 Date 26 Nov 1999  
 Residence Miyagi, Japan  
 Citizenship Japan  
 Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome, Shinagawa-ku.  
Tokyo 141-0001 Japan

Full name of third joint inventor,

(if any) Yukiko Iijima

Inventor's signature 飯嶋 由紀子 Date 26 Nov. 1999  
 Residence Miyagi, Japan  
 Citizenship Japan  
 Post Office Address c/o Sony Corporation, 7-35, Kitashinagawa 6-chome, Shinagawa-ku.  
Tokyo 141-0001 Japan

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**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

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Washington, D.C. 20231

APRIL 26, 2000

PTAS



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**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/22/1999

REEL/FRAME: 010565/0689

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HATAZAWA, TSUYONOBU

DOC DATE: 11/26/1999

ASSIGNOR:

LIJIMA, YUKIKO

DOC DATE: 11/20/1999

ASSIGNOR:

KEZUKA, KOICHIRO

DOC DATE: 11/26/1999

ASSIGNEE:

SONY CORPORATION  
7-35 KITASHINAGAWA 6-CHOME  
SHINAGAWA-KU, TOKYO 141-0001, JAPAN

SERIAL NUMBER: 09446641

FILING DATE: 12/22/1999

PATENT NUMBER:


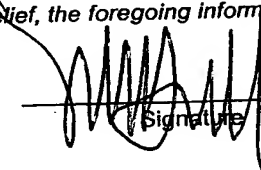
ISSUE DATE:

010565/0689 PAGE 2

SHIRLIE SIMON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

12-22-99  
AD 581.40

J9/446641  
410 Rec'd PCT/PTO 22 DEC 1999

FORM PTO-1595		02-28-2000		SHEET		U.S. DEPARTMENT OF COMMERCE	
1/31/92						Patent and Trademark Office	
To the Honorable Commis:				the attached original documents or copy thereof.			
101276112				and address of receiving party(i s):			
1. Name of conveying party(ies):  Tsuyonobu Hatazawa Koichiro Kezuka Yukiko Tjijima Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				Name: <u>Sony Corooration</u> Internal Address: _____ _____ _____ Street Address: <u>7-35 Kitashinagawa 6-chome</u> <u>Shinagawa-ku, Tokyo 141-0001</u> Japan City: _____ State: _____ Zip: _____ Additional Name(s) & Address(es) attached <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date <u>Nov. 26, 1999</u>				4. Application (number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: <u>Nov. 26, 1999</u>  A. Patent Application No.(s)  PCT/JP99/02155 P99,2641  B: Patent No.(s)  <u>09446641</u>  Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed:  Hill & Simpson, P.C. 85th Floor Sears Tower 233 S. Wacker Drive Chicago, IL 60606				6. Total number of applications and patents involved  <u>1</u>  7. Total Fee (37 CFR 3.41) ..... \$ <u>40.00</u> <input checked="" type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account any Additional fees  8. Deposit Account Number: <u>08-2290</u> (Attach duplicate copy of this page if paying by deposit account)			
DO NOT USE THIS SPACE							
9. Statement and signature: To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.  Michael R. Hull (35,902) _____ Name of Person Signing   Signature  December 22, 1999 Date  Total number of pages including cover sheet: <u>3</u>							
Mail documents to be recorded and required cover sheet information to: Commissioner of Patents and Trademarks Box Assignments Washington, D.C. 20231							

01/05/2000 WCLAYBRD 00000070 09446641  
FC:581

## ASSIGNMENT

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in SOLID-ELECTROLYTE SECONDARY BATTERY for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, Sony Corporation, a Japanese corporation with offices at 7-35, Kitashinagawa 6-chome, Shinagawa-ku, Tokyo 141-0001 Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its design, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: International Serial Number: PCT/JP99/02155, International Filing Date: April 22, 1999.

This assignment executed on the dates indicated below.

Tsuyonobu Hatazawa  
Name of first or sole inventor

Execution date of U.S. Patent Application

Miyagi, Japan  
Residence of first or sole inventor

Tsuyonobu Hatazawa  
Signature of first or sole inventor

November 26, 1999

Date of this assignment

Koichiro Kezuka

Name of second inventor

Execution date of U.S. Patent Application

Miyagi, Japan

Residence of second inventor

金澤 浩一郎

26. Nov. 1999

Signature of second inventor

Date of this assignment

Yukiko Iijima

Name of third inventor

Execution date of U.S. Patent Application

Miyagi, Japan

Residence of third inventor

飯嶋 由紀子

26. Nov. 1999

Signature of third inventor

Date of this assignment

Name of fourth inventor

Execution date of U.S. Patent Application

Residence of fourth inventor

Signature of fourth inventor

Date of this assignment

Name of fifth inventor

Execution date of U.S. Patent Application

Residence of fifth inventor

Signature of fifth inventor

Date of this assignment